DOCUMENT RESUME

ED 359 617 EA 025 050

TITLE The Superintendents' Leadership Role in School-Based Improvement, Year II: Documentation of Colloquia of the 1991-1992 School Based Improvement Project.

INSTITUTION Massachusetts Association of School Superintendents, Boston.; Massachusetts State Dept. of Education, Quincy. Office of Community Education.

PUB DATE 92

NOTE 45p.; For a report on the first year of the project, see EA 025 049.

PUB TYPE Viewpoints (Opinion/Position Papers, Essays, etc.) (120) -- Collected Works - Conference Proceedings (021) -- Guides - Non-Classroom Use (055)

EDRS PRICE MF01/PC02 Plus Postage.

DESCRIPTORS Administrator Effectiveness; *Administrator Role; Educational Change; Elementary Secondary Education; *Leadership; Organizational Change; *Professional Development; *School Based Management; *Superintendents

IDENTIFIERS *Massachusetts

ABSTRACT

The School-Based Improvement Project (SBIP) is a cooperative venture between the Office of Community Education of the Massachusetts Department of Education and the Massachusetts Association of School Superintendents (MASS). SBIP is a multiyear professional-development initiative designed to improve the leadership of superintendents who are engaged in school restructuring and school-based management efforts. SBIP has four major components: a colloquium series; support groups; peer coaching programs; and onsite leadership laboratories. This document highlights the presentations and workshops delivered during 1991-92 colloquium series, which engaged participants in large- and small-group sessions and roundtable interactions. Major themes of the colloquium included: (1) leadership and professionalism; (2) differentiating leadership and management; (3) self-management and leadership; and (4) curriculum reform and the implications for superintendents. The appendix lists advisory committee members. (LMI)

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THE SUPERINTENDENTS' LEADERSHIP ROLE IN SCHOOL-BASED IMPROVEMENT

YEAR II

Documentation of Colloquia of the 1991-1992

SCHOOL-BASED IMPROVEMENT PROJECT

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Publication No. 17168-35-3000-8/92-.02pp
Approved by Philmore Anderson, III, State Purchasing Agent

The Superintendents' Leadership Role in School-Based Improvement

YEAR II

Documentation of Colloquia of the 1991-1992 School-Based Improvement Project

December 11 and 12, 1991

April 3, 1992

May 21, 1992

co-sponsored by

Office of Community Education
Massachusetts Department of Education

Massachusetts Association of School Superintendents

developed by

Office of Community Education
Massachusetts Department of Education

Susan Freedman, Director
Barbara Aschheim, Community Education Specialist
Ross Zerchykov, Community Education Specialist

This publication has been made possible, in part, through a generous contribution from the Massachusetts Electric Company

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INTRODUCTION

The School-Based Improvement Project (SBIP) is a joint venture of the Office of Community Education of the Massachusetts Department of Education and the Massachusetts Association of School Superintendents (MASS). SBIP is a multi-year professional development initiative that is providing 95 competitively selected public school superintendents with enhanced skills and knowledge that are enabling them to be effective leaders in promoting educational restructuring and school-based management in their school systems.

The School-Based Improvement Project is an outgrowth of a series of Working Meetings, held in 1989 and 1990, that were attended by over 150 school superintendents from across Massachusetts. These meetings, co-sponsored by the Department of Education and MASS, explored the role of superintendents in school restructuring. Attendees concluded, based on their own experiences and national research and literature, that while the individual school is the **locus** of change and improvement, it is the district that provides the **context** for change. Superintendents concurred that school-based management and decentralization required **more, not less,** leadership from superintendents and that this leadership called for new skills, attitudes, and behaviors from superintendents.

SBIP was developed in response to superintendents' requests for information and support on school-based improvement and has received funding from the Geraldine R. Dodge Foundation and private sector contributors. Focus and direction for SBIP has been provided to the Office of Community Education of the Massachusetts Department of Education and MASS by an active Advisory Committee comprised of superintendents, principals, teachers, higher education representatives, educational researchers, and Department staff. This Committee contributes to the design and ongoing programmatic decisions of SBIP and has provided invaluable perspectives, wisdom, and referrals that have greatly contributed to the strength and responsiveness of the project. A listing of the Advisory Committee can be found in Appendix A.

SBIP Design

SBIP is designed with four major components:

- **Colloquia Series**
  Each year, SBIP superintendents, participate in a two-day residential Colloquium and two one-day Colloquia that help to expand their skills and knowledge regarding educational restructuring. These Colloquia sessions are also building a strong network of restructuring practitioners. Speakers and presenters at these sessions include state and national experts from graduate schools of business and of education as well as superintendents' colleagues from other states who are implementing major restructuring initiatives. An earlier publication, **The Superintendents' Leadership Role in School-Based Improvement,** documents the 1990-1991 Colloquia Program. This publication highlights the presentations and workshops that comprised the 1991 - 1992 Colloquia.

- **Peer-Coaching Program**
  Fourteen pairs of superintendents have formed peer-coaching partnerships through which they are providing one-on-one assistance to each other on issues related to their restructuring efforts.

- **Support Groups**
  At their option, superintendents with similar interests or who are in close proximity join support groups to engage in problem solving and mutual consultation on the implementation of restructuring. One support group, for example, consists of superintendents from school systems that have Carnegie Schools and is united by a common concern for how to diffuse the learning from the Carnegie School to other schools in the district. Support groups are led by an SBIP superintendent and establish their own agenda, goals, and meeting schedule.

- **Leadership Sites**
  Four school districts, whose superintendents are participating in SBIP, were competitively selected to serve as laboratories that produce field-tested models of replicable practices that promote effective school-based management. These sites are engaging in guided action research as they implement restructuring plans and are receiving technical assistance and support from organizational development and educational consultants.

Documentation of the Colloquia Series

This documentation of the 1991-1992 Colloquium Series highlights the presentations, workshops, and panels delivered in a two-day residential colloquium in December, 1991, and two one-day colloquia in April and May, 1992.

These presentations have been organized into four major strands:

- Leadership and Professionalism
- Differentiating Leadership and Management
- Self-Management and Leadership
- Curriculum Reform and the Implications for Superintendents

This documentation is offered to enable school superintendents and others an opportunity to benefit from the wisdom and insights of the presentations and to encourage educational leaders to examine their own approaches to leadership and restructuring.

Acknowledgments

We are very grateful to the 95 superintendents who are participating in SBIP for their enthusiasm and for their commitment to ensuring that SBIP continues to advance the movement of restructuring. Superintendents have been very generous with their feedback on SBIP programming and have made significant contributions to its direction and focus.

We also thank Virginia DeMello and Louise Lunde for their patience in developing successive drafts of this documentation.

I. LEADERSHIP AND PROFESSIONALISM

LEADERSHIP: DO WE REALLY NEED IT?

THOMAS J. SERGIOVANNI, Lillian Radford Distinguished Professor of Education, Trinity University, San Antonio, Texas

THEMES

There will be no change in our practice unless there is change in our theory.

Educators should comprise a community in which competence and virtue make one a professional.

HIGHLIGHTS

We are in an era of reform and will not be entering the next millennium without change. In **Tales of A Traveller,** Washington Irving says, "There is a certain relief in change, even if it is from bad to worse." We can all relate to this sentiment. Just think of a long car or plane ride. We shift our position if only to be bruised in a new place.

We will only be successful if these changes **help teachers to be more effective.** School-based management is a good example. States, such as Texas and New York, are legislating school-based management. Is school-based management a **means or an end?**

In Texas, year round schooling is getting a great deal of attention. In Japan, 30 days of the school year are used to visit national shrines, participate in festivals, and other special events. If we extend the school year and do not change what or how we are teaching, the added days will not make any difference.

Total Quality Management is another example. While TQM has many valuable ideas that have applications to schools, it may be more valuable to bring teachers together to discuss how they can strengthen their school than to develop templates on how to build quality into the "front end" in Kindergarten.

Changes in Leadership

There will be no change in our practice unless there is **change in our theory - our basic assumptions.**

Imagine a school in which there is a minimum of leadership:

- The principal does not tell the teachers how to teach.
- There are no "gotcha" sessions, in which principals attempt to determine if teachers have been meeting their goals.
- There are no in-service training sessions.
- Teachers, however, do well; are collegial with their fellow teachers; and are constantly working to improve their craft.
- The principal reads up on the latest developments; knows the names of the children; visits the homes of some parents; and engages in discussions with teachers about real and critical educational issues.

We need self-leading, self-managing schools in which leadership does not matter and teachers hold themselves accountable.

Sources of Authority

There are several sources of authority that determine what we do:

- **Bureaucratic authority:** Traditional organizational leadership suggests that when people do what they are supposed to do they will have success in the organization. Not doing well has certain understood consequences.
- **Personal/psychological authority:** This form of leadership relies on our ability to make others do things we want them to do and to like it. It relies on motivational technology and human relations skills. (Most of my earlier work has relied on this kind of authority.)
- **Research authority:** Technical, rational leadership bases its legitimacy on a research base and on a specific plan of action, such as is offered by the various effective school programs. This authority is very management-intensive and requires constant monitoring and supervision.

In this country, we have a vacuous leadership process. When you were principals, why did you follow your superintendents?

- Because they could lead or manipulate you?
- Because they made you feel autonomous or raised your self-esteem?
- Because they gave you psychological payoffs that related to how well you felt about yourself as a principal?

Rather, did you follow your superintendents because:

- They had something to say that made sense?
- They stood for a set of ideas that pointed you in a direction that captured your imagination?
- They had a set of ideas, values, and conceptions that you agreed were good for you, the school, and the students?

We are being asked to choose between process and substance. Too much leadership training and too much of the literature focus exclusively on the process, which is glitz, rather than on the substance. There is not enough substance in educational leadership to comprise a doctoral program.

All of these sources of authority assume that teachers need to be led, and at the present time they do. Our goal should be to change this reality by providing leadership training that connects process and substance. Many of the existing leadership programs separate process from substance.

The interpersonal relationships of leadership are important, but they should be "for free":

- We should treat people decently because they are human beings - not because we want them to do what we want. We should do it "for free."
- We should not use our personal authority with students to get them to perform; children should engage in learning for reasons that are better than because the teacher is "clever" with his or her personal authority. We should work to promote the self-motivation and self-management we want in teachers and students.
- We should be hiring teachers on their substance rather than on their ability to engage in effective processes.
- Technical, rational authority should inform the decisions we make about our practice, not tell us what to do. Teaching cannot be standardized. Teachers must learn to perfect their art as they practice.

Two **additional sources of authority** for leadership practice:

- **Professional authority:** Education as a profession makes certain assumptions.
- Educators are known for informed and seasoned knowledge of the craft of teaching.
- Professional virtue is the hallmark for all practitioners.

  Teachers are expected to conform to:

  - Common standards of socialization
  - Good tenets of practice
  - Internalized expertness
  - Professional ideals
- **Moral authority**: As educators, we also can be expected to uphold certain moral standards:

  - Shared values
  - Shared commitments
  - A sense of interdependence and obligation for each other

New Principles

If we are serious about moral authority, we need to generate some **new principles**.

1. **Purposeful building of a covenant of shared values**

   If we practice these principles, we will have discovered the means to transform schools from formal organizations to **organizational communities**. Communities are repositories of values that bond people together. These communities are driven by a different kind of hierarchy than are organizations. Ideas are at the apex of this hierarchy.

2. **Empowerment based on obligations and duties, not on freedom**

   Empowerment has come to mean discretion in popular parlance. It should have less to do with freedom and more to do with the requirements imposed by our shared values.

3. **Collegiality as a form of virtue**

   If schools are communities and sacred places, we who work in schools have a **sacred function**. There is no institution, other than the family, that has a more sacred function. We must take seriously our responsibility to build organizational communities in our schools.

There are four dimensions to understanding the school as a community:

1. Schools are purposeful communities that have shared goals, values, and commitments; they are **learning communities** in which everyone is committed to learning.

2. **Reflection and inquiry** are an ongoing part of these communities; when teachers share their practice, they are building community.

3. School should be **caring communities** that view students as people, not "cases." Too often our discipline policies are based on psychological principles rather than on the substance of our knowledge of what is effective with children.

4. Educators should comprise a professional community in which **competence and virtue** make you a professional, not only the competence that comes from five years in a graduate program. Competence, alone, can be found in safecrackers, but they are not considered true professionals.

There are **four dimensions to virtue**, going back to Aristotle:

1. **Commitment to exemplary practice**

   We should expect that teachers will keep themselves **updated on research** and other information. We should not be spending millions of dollars on prepackaged in-service programs for teachers. All teachers should have a commitment to practice "at the edge" by using the latest substantive approaches.

2. **Commitment to valued social ends**

   Teachers should be dedicated to **serving** the public.

3. **Commitment to practice within the profession itself**

   Teaching is not a solo practice; it is a **collective practice**. Our policies are competitive rather than collegial. Schools presently promote isolation. There need to be changes in these practices.

4. **Commitment to collegiality**

   Recognizing **collegiality as a virtue** means being drawn to each other from a sense of caring about each others' professional growth.

Thomas J. Sergiovanni is the Lillian Radford Distinguished Professor of Education at Trinity University in San Antonio, Texas and an Associate with the Breckenridge Forum for the Enhancement of Teaching. His latest publication is Moral Leadership: Getting to the Heart of School Improvement (1992).

PANEL OF RESPONSE TO THOMAS SERGIOVANNI

PANELISTS:

KARLA BAEHR DELETIS, Superintendent
Wellesley Public Schools

PAUL JENNINGS, Superintendent
Williamstown Public Schools

PETER NEGRONI, Superintendent
Springfield Public Schools

JOSEPH RAPPA, Superintendent
Attleboro Public Schools

MODERATOR: DENNIS DISALVO
Superintendent, Northboro/
Southboro Regional School
District

This panel of superintendents was invited to ask questions of and to respond to the remarks of Tom Sergiovanni. Tom was then asked to reply to these comments.

Karla Baehr Deletis, Superintendent, Wellesley Public Schools

- It has been exciting to hear a professional demonstrate how much he is a learner and how much he is willing to share the results of his learning. Tom certainly models learning as an aspect of the leadership that he suggests.
- One aspect of this learning appears to be a broadening of the substance on which leadership is based. The concept of **relationships** and the **ethic of caring** seem to have been added to the concepts of reason and moral virtue.
- It is interesting to explore the linkage between leading and teaching. If leadership is not about personal relationships, **are the personal relationships between students and teachers overstressed?** What might be another part of the equation? Jon Saphier might suggest that it is high expectations for academic achievement.

Paul Jennings, Superintendent, Williamstown Public Schools

- There is a need for additional focus on the distinctions between **process and substance.**
- Process can be the way an organization is transformed into a community and the way a school as a community comes to terms with substantive issues.
- Process, guided by the kinds of principles that have been suggested, can be a way of dealing with substantive issues. Grading is a troublesome aspect of schools. How do we build a community that intends to empower everyone while maintaining grading systems which almost invariably define many learners as "below average?" Our challenge is to enable the greatest number of learners, adults and children alike, to succeed and to perform at high levels. We cannot build an inclusive community of learners if we maintain sorting mechanisms which define some members of the community as losers.

Peter Negroni, Superintendent, Springfield Public Schools

- Community can be seen as an operational focus for schools. How can we have success within a community structure if the present structure of schools prevents the sense of community from happening?
- If we want to act on the concept of the school as a community, we will need some major transformations. First, we need to understand that **schooling and democracy are interdependent.** The quality of a community is tied to the quality of the schools in the community. We need to make transformations in pedagogy, social systems, social attitudes, and political areas before we will see major changes in education.
- In America, schooling is not now about learning. Schooling is to a large percentage custodial. It is not inclusive but rather a means to sort and select kids.

Joseph Rappa, Superintendent, Attleboro Public Schools

- Is it helpful to think of **the school as a community of communities?** We have many communities in all of our schools. There are many kinds of communities: functional and dysfunctional. We want to be sure not to validate dysfunctional communities.

- When I first taught, it was not a question of being told "what to do." We had to be **restrained.** We were an energetic and innovative social and professional community that cared passionately about education.

- Time has an impact on any community. We now have an aging educator workforce. It's not exciting to spend five days a week at "Grandma's house." How, as educational leaders, do we bring the professional zeal we knew in our 20's to the Merrymeadow Nursing Home?

Highlights of Responses from Tom Sergiovanni

- The ethic of caring requires us to think as professionals, not in a technical sense but in a fuller sense. We want to serve people, and not see them as "cases." "Caring" includes a set of obligations and a commitment to care for each other. Members of a community are bound together and must look out and care for each other.

- We need to invent our practice as we go along. When we import a program, we **impose** it. When we **develop** a program, we all **change** in the process.

- How do we deal with the issue of enablement? We presently have a **subservient culture,** especially in the elementary schools. The culture of teachers is to be led. How do we build a culture that promotes professional growth?

- How do we change a culture that does not want to change? We need to involve all of the parties, including the teachers, in changing and reinventing the school.

- If ideas are to be the source of our authority, we have to figure out what is worth following. What are the standards we will develop to determine how we relate to each other?

- The metaphor of the school as community, as opposed to the organization, is useful and can be stretched. We may want to think of school districts as villages that are composed of lots of communities, which are the schools. The superintendent can be seen as a mayor - not a CEO. We could benefit by thinking about the role of the superintendent as we pursue this metaphor.

REINVENTING THE SCHOOLS

VITO PERRONE, Director of Teacher Education, Harvard Graduate School of Education

THEMES

Educators must constantly question their practice and look for ways to reinvent schools.

Educational leadership is about seeing the world of possibilities and using a sound knowledge base to move toward these possibilities.

HIGHLIGHTS

One understanding to keep before us is the ongoing need for educational leaders to be in collaboration, to be a part of vibrant learning communities, and ongoing discussions that lead to personal and professional growth. Education at its best has been characterized as providing opportunities for collective thought. The trick for us as educators is to keep ourselves in collaboration: to continue to connect with others with whom we can share and from whom we can learn.

It will be critical that SBIP superintendents **stay** in contact and find ways to continue these discussions. It is also critical to **keep the focus of these discussions on educational issues** such as the student-teacher exchange, school practices, and curriculum. We must not allow the political and economic pressures to disconnect us from this educational base.

Some premises and large purposes on which we may want to keep our focus:

Our students should dominate our focus.

Too much attention is being focused on students in Japan and Germany when they are not the students in our classrooms. By focusing on other countries, we are passing right by our own children.

Regarding the comparisons, children in 16 countries were tested on writing skills and it was determined that intercultural differences made it impossible to come to agreement on the criteria for assessing these writing samples. I assume that these differences are relevant in areas other than writing.

We need to examine our practices.

Why do we have the practices that we have? Why 45 minute classes instead of 2 hours? Why English and history as separate courses instead of humanities? Why so much emphasis on Europe? Why so much emphasis on great men and less on great women or common men and women? Why the curriculum that now prevails?

What would it take to reinvent the schools and to help children and young people see that they have the capacity to change the world? Why are we not testing everything that we teach against the measure of changing the world?

What is critical and what is not?

Would two Shakespearean plays in a year, read carefully, thought about, and relevant to the life of the student be enough, or do we need eight?

Should the focus in science be size, scale, and states of matter and evolution, or should 12 other topics be explored as well? In the Project 2061, scientists were asked to include their rock bottom "basics"; the list is now close to 2061.

How can teachers get closer to the needs of students? Must we continue to stress testing that seems to have no relationship to real accountability -- that is understandable, has a meaningful content? Superintendents can play a major role in helping others to think clearly about these issues.

Examples exist:

- o The Gary, Indiana, schools, as described in Dewey's Schools of Tomorrow (1915), demonstrate how a community can use its schools to respond to the needs of its citizens of all ages.

- **Leonard Covehlo,** in **The Heart as Teacher,** chronicles how he went into NYC in the 1920s and built the archetypical community school. He invented bilingual education, brought parents into the schools, and opened the schools to the community.

- **New York City** has recently put out an RFP that continues these traditions. It invites teachers, administrators, parents, and others to develop 14 new high schools. The schools will open in the fall. The RFP ask: "In your community, what are the needs? How will you invent a school to meet these needs? What constraints would you want removed so you can reach your goals?"

- **Central Park East (NYC)** is a revolutionary school that gets great "reviews" for its innovation and outcomes. A key theme of the school's mission statement is, "How do we know what we know and is it important?" Students are taught to ask: "From whose viewpoint are we reading this information?" "What are the sources?" "Why should I care?" "How reliable is this information?" "What is the cause and the effect and how do they fit together?"

  Central Park East takes its mission statement seriously. For the school, this means:

  - A flexible curriculum rooted in large questions.
  - Classroom discussion that allows for diverse viewpoints.
  - Literature that addresses issues in challenging ways.
  - Ongoing consciousness about relationships across the lines of academic disciplines.

  For students, this means:

  - Reading from real texts.
  - Writing that shows concern for sources and personal perspectives.
  - Community service that is expected of all students beginning at the 7th grade: 75 hours per year. Students develop a resume that demonstrates the number of real and meaningful experiences that they have had and the skills they have developed through community service.

The prospects for reform.

We are less than 10 years away from the Year 2000, which figures so prominently in our educational goals as enunciated by the President and the Governors. Little will really change until those in and around schools are truly committed to reform:

- Teachers will need to have **more authority in schools.** They need to be more involved in the communities in which they teach. School-based management will need to be more involved with critical educational decisions.

- **Classroom inquiry, reflective practice,** and **collective thought** will need to be mainstays of education for students and teachers.

Real authority is about teachers being serious students of teaching, learning, schools, and communities. They will need to be able to see in their settings a world of **possibilities** rather than a world of limitations. Wherever there are people talking about limitations, practices in schools will decline. **No matter how bad things are, there must always be a concern for the better.**

Be careful how you define the world. It is just like that. How we **speak** about the world and how we root our work in the schools can mean everything. As Carlos Fuentes has said regarding democracy, "Our practices may not be there yet, but without the words, we will not get there."

"What if?"

Leadership is about asking "what if" questions about practices in the schools on a regular basis:

For example, "What if:"

- o We set aside 45 minutes each day for reading?
- o Painting, dance and music became a central feature in schools?
- o Students had one period a day in a writing workshop that paid no attention to grammar?
- o We gave one day a week to one subject only and studied it in depth?

Why do we not question everything we do? If we are forced to question everything, we will find things we can no longer justify.

Professional Practice.

Our practice needs close examination. Regardless of all of the evidence to the contrary, there is more tracking in schools than ever before in our history.

Educators need to be more conscious of the negative consequences of harmful practices and the language surrounding them. They must seek to alter the circumstances. Superintendents need to take the first steps or we will never break the cycle. Superintendents need to provide the moral leadership that raises these kinds of issues. If we start with strengths, we will alter a lot that happens in schools.

One last cultural imperative.

We must help students to understand the multicultural wealth in our world. We must make multicultural understanding a much greater part of schools. If kids don't learn to talk about race and class in schools, where will they learn it - and what are the consequences? Superintendents have a moral obligation to provide this leadership.

Without the kind of leadership that grows out of sound knowledge, control of language, and an openness to collective thought, the schools will not get better. All of our schools need to be better. May we all look forward to better times when the schools are the priority that everyone says they are.

Vito Perrone is Director of Teacher Education and Chair of the Teaching, Curriculum, and Learning Environment Program at the Harvard University Graduate School of Education. He is a prolific writer whose most recent work focuses on student assessment and the professional development of teachers.

II. DIFFERENTIATING LEADERSHIP AND MANAGEMENT

DEVELOPING LEADERSHIP IN OTHERS

JOHN KOTTER, Konosuke Matsushita
Professor of Leadership, Harvard Business School

THEME

Management and leadership are distinctly different traits and each is identified by a specific set of behaviors.

HIGHLIGHTS

Over the last ten or twelve years, I have asked many people the following question: "Given your own sense of where the world is heading, who do you think represents a good role model for the kind of person we are going to need in **managerial** positions in the nineties and maybe the turn of the century?"

In these conversations, there are several characteristics that emerge frequently: visionary, trusting and trustworthy, inspiring, positive, and personable.

When you ask about these role models as **leaders,** you get ratings of 8, 9, 10 or even 12. When you ask about them as **managers,** you are more likely to get ratings of 7 or 8 - or maybe 2's and 3's.

In recent research, I asked approximately 200 business leaders to think of someone, whom they knew personally, who had done an absolutely outstanding job of **managing** something for which they were responsible. These leaders were asked to describe what they felt had contributed to this successful result.

These individuals were then asked to think of someone, whom they also knew personally, who had done an absolutely outstanding job of providing **leadership** to the people around them. Again, they were asked to describe in detail what had contributed to this outstanding leadership.

People had significantly greater difficulty describing the characteristics of the leaders than of the managers but were able to identify, as a group, approximately 200 different descriptive management and leadership terms.

In the management stories that people provided, there are several recurring themes:

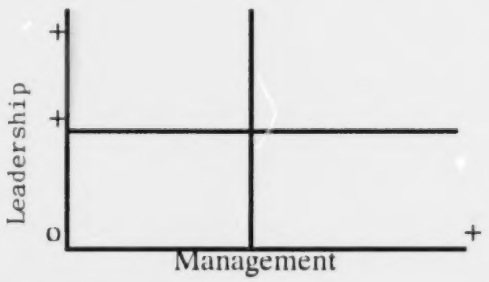
- o Planning and budgeting
- o Organizing and staffing
- o Controlling and problem solving

Managers were described as the people who "create organized results on time."

A different set of characteristics were used to describe leaders. Leaders were portrayed as **aligning people** by communicating a vision and ensuring that everyone could understand and accept it. Leaders also were commended for their ability to be motivating and inspiring.

Leaders were described as people who set the direction for the organization by creating a vision of the future and strategies for getting there.

Organizations and their leaders or managers can be described using the following diagram:



Organizations on the top left of the diagram can be described as creative but chaotic.

Those on the bottom right are generally dull, lacking in innovation, and not prepared to respond to changes in the world market.

Example:

People's Express airlines went from $0 to $1 billion in five years. Its major competition was Eastern Airlines.

Fares from Newark to Buffalo:

Eastern:	*$139*
People's Express:	*$ 39*

Eastern Airlines fell on the diagram in the lower left corner because it had poor management and little leadership. Eastern executives were having trouble making money at $139 and were convinced that no one could make money with lower fares.

*People's response was to lower the fare to $29. They took the approach of **doing everything differently from Eastern.** They brought in "naive" outsiders who asked and helped to answer several critical questions:*

Q. Who are our customers?
A. Young people and families.

Q What do they want?
A. Cheap tickets.

Q How can we do it?
A. Eliminate food; institute carry-on luggage; and build economic and psychological ownership of the company by employees through stock options and involvement in decision making.

The People's Express approach depended on strong leadership that found creative ways to keep costs low and employees' morale high.

Exemplary leaders:

Leadership can take very different forms, as is evident in the following examples:

Sir John Harvey-Jones, President, ICI, London

- Inherited a company firmly located in the lower right corner: stable; culturally resistant to change.
- Company was in economic decline from 1977 - 1982.
- Harvey-Jones brought in a new, global vision.
- Instituted symbolic changes: a less "kingly" office; reduced headquarters staff.
- Made many passionate speeches to employees reinforcing his vision; always ended his presentations with question and answer sessions.
- Selected a few new winning projects and put the spotlight brightly on them.
- Has seen growth of 500% in net income between 1982 - 1987.

Dr. Kazuo Inamori, CEO, Kyrocera Corporation, Japan

- Has organized his company into amoeba-like units, each of which has about 40 employees.
- Each unit has its own leadership, management structure, identity, and product development.
- The most senior individual in a unit could be a high school graduate. Hundreds of employees are being put into management positions.
- This approach is being implemented in the United States in radical decentralization programs.

Mary Kay Ash, Mary Kay Cosmetics, Dallas, Texas

- Provides leadership by the charisma and strength of her personality.
- She is the star, but she subsumes her ego in the management structure. Her organization works through **teamwork** with all employees knowing their roles.
- Mary Kay's personal appeal is so strong that employees come at their own expense to the annual conference.

John F. Welsh, Jr., Chairman of the Board and CEO, General Electric Company, Connecticut

- A fairly strong manager who is working to become a stronger leader.

- An extremely hard worker who is articulating a vision and mobilizing a core group of people to implement it with him.

Three characteristics of leaders:

1. Set direction
   - Challenge the status quo
   - View things broadly
   - Make decisive choices
   - Embody flexibility
   - Create vision and strategies
2. Align constituencies
   - Communicate to everyone who is relevant
   - Keep the message simply
   - Continually repeat the message
   - Allow people to challenge ideas
   - Maximize the credibility of the organization
   - Recognize the size of the task of lining people up behind an idea
3. Motivate and inspire
   - Appeal to the values of the groups
   - Provide autonomy to people
   - Encourage and cheerlead
   - Recognize and reward

Non-adaptive cultures:

A major barrier for any leader is a non-adaptive culture.

Non-adaptive cultures are focused on their own self-interest; they are generally insular, political and bureaucratic.

Adaptive cultures:

Effective leaders ceate and help nurture adaptive cultures, focused externally on their constituencies.

School Systems

Most school systems need more leadership at multiple levels. It is esential for superintendents to help provide that leadership, especially by creating a more adaptive culture in their organization.

John Kotter is the Konosuke Matsushita Professor of Leadership at the Harvard Business School. Professor Kotter is the author of nine books including his recent publications on leadership, A Force for Change: How Leadership Differs from Management (1990) and Corporate Culture and Performance (1992).

BUILDING LEADERSHIP THROUGH PROFESSIONAL DEVELOPMENT - PANEL

PANELISTS:

KATHERINE KUSSY, Superintendent
Easthampton Public Schools

PETER HOLLAND, Superintendent
Belmont Public Schools

DAVID CRISAFULLI, Superintendent
Mendon-Upton Regional School District

IRWIN BLUMER, Superintendent
Newton Public Schools

Moderator: Dennis DiSalvo, Superintendent
Northboro-Southboro Regional
School District, Co-Chair, SBIP

The following superintendents were asked to participate in a panel on their efforts to develop leadership among their staff.

Katherine Kussy, Superintendent, Easthampton Public Schools

Three years ago the Easthampton Public Schools decided to look at change theory and its implications for restructuring.

- Identify a model

  The district started with the James Comer (New Haven, CT) model. Administrators and teachers were trained at Yale University by Comer in his school-based management model. This training helped to get people on board through understanding the model. This training provided the model, but left staff wanting further information.

- Interaction and relationships

  Staff engaged in problem solving aimed at identifying the steps needed to implement a new approach. They addressed issues such as "What is Motivation" and worked on the development of a school plan.

- Training and development

  Each school plan identified the information and training needs of teachers, parents, and others at the school. Teachers helped to identify the knowledge base they needed to be effective in implementing change.

- Modeling and changes

  It was critical that central office and school administrators were consistent in modeling the changes that they were promoting. This meant that administrative meetings "looked different." Team meetings became mini-workshops on new skills and on how people could help each other.

  Administrators and the superintendent focused on their own ability to be peer coaches and to engage in strategy building. They are working to be a community of learners and to build a different culture in which they all work together.

Peter Holland, Superintendent, Belmont Public Schools

The district has brought in consultants for a range of training and professional development opportunities for staff:

- Administered Myers Briggs-type indicators to help people understand their own working styles.

- Offered a two-day workshop on conflict resoution and mediation skills.

- Developed strategic Team Planning on strategies for working together.

- Offered workshops on substance abuse in the workplace; brought in an attorney and substance abuse counselors for meetings with staff.

- Some administrators attended Peter Senge's workshops on the "Fifth Discipline." (Peter Senge was a Colloquium Speaker in 1991 - 1992 and is a resource to the SBIP Leadership Sites.)

- Designed workshops on management issues in times of declining resources.
- Offered seminars for principals on the isolation of the elementary school principal.
- Each principal meets monthly with the superintendent to raise issues of concern.

Issues related to promoting leadership in others:

- Recognition of the need to be more proactive on issues that arise for principals such as back lash on curriculum change, safety on the playground, and helping teachers with substance abuse problems.
- Principals are reporting that they feel supported and appreciate the coaching they are receiving. They feel more secure that decisions they make will not be reversed; political issues are defused before they get to the school committee level.

David Crisafulli, Superintendent, Mendon-Upton Regional School District

One of the primary goals of the Mendon-Upton Inservice Program was to utilize the superintendent as a trainer for a problem solving/decision making model called Strategic Team Planning (STP). In the past three years, we have trained 75% of the staff in the Strategic Team Planning (STP) model. STP focuses on how to play fair, be heard, and problem solve. It is based on the philosophy that cultures can change when there are positive interactions within teams. It involves a problem solving process that creates a bonding among staff.

STP suggests a three step approach that involves listening to people, processing the information that has been shared, and collaboratively developing solutions to problems. The approach has been effective with parents, teachers, school committees, and other school constituencies.

Mendon-Upton has also had training in the Johnson City, NY, Outcomes Based Education Model and has modified this model to meet its own needs.

The district no longer has principals. Each school has teams that are headed by leaders. This approach is helping to expand schools' ability to address the needs of children.

Irwin Blumer, Superintendent, Newton Public Schools

Because Newton has 19 school buildings, we find it is critical to have "alignment" in their staff development efforts. There needs to be agreement among staff in all school buildings regarding the topics on which staff development should be focused. In addition, staff development must be ongoing, with every staff meeting incorporating staff development.

Our professional development is driven by the belief that **all students can learn.** In addition, we are guided by our district's core values:

- Promote the centrality of the classroom
- Develop respect for differences
- Encourage collegial behavior

We have used our limited amount of professional development funds on two approaches to staff training:

1. Jon Saphier: The Skillful Teacher

   Two teachers are being trained to teach the other teachers. New hires will be asked if they are interested in professional development and the Skillful Teacher approach. If they are not, they will be discouraged from applying for a position.

   Jon Saphier is working with administrators to help them understand how to approach faculty with new decisions and policies and how to build ownership of these ideas among faculty.

2. Jeff Howard: Efficacy

   One teacher took a two year leave of absence to be trained by Jeff Howard. She will train the other teachers when she returns to the schools.

Additional comments by panel members:

- Set the vision. Work with the community to make it happen.
- Encourage teachers to think about more than the cognitive side of students.
- Do we want principals to be leaders or managers? Many principals do not get to be leaders as there is no one else at the building who can be the manager.
- Too often we solve problems in schools to meet the needs of staff, not of children. Schools need to be more adaptive to the needs of children.
- School district employees are among the best educated in the world. We let them off the hook by not requiring them take responsibility for their own professional development.
- There should be a point when superintendents do not have to promote professional development, teachers do it on their own. Teachers sell themselves short if they are not more assertive.
- We risk being guilty of "Ready, Aim, Aim, Aim." When will we be ready to "Fire?"

III. SELF-MANAGEMENT AND LEADERSHIP

ORGANIZATIONAL SELF-MANAGEMENT AND THE ADMINISTRATION OF SCHOOL SYSTEMS

J. RICHARD HACKMAN, Cahners-Rabb Professor of Social and Organizational Psychology, Harvard Business School

THEME

The work unit of the future will be the team; teams have specific characteristics that are critical to their success.

HIGHLIGHTS

A critical issue in organizational effectiveness is how well teams of employees work together. Research on airline crews, operating room nurses, instrumental sections of orchestras, prison guards, and others who work in teams indicates that there are four primary variables that impact team effectiveness: direction, structure, context, and coaching.

An illustration:

Two airlines have vastly different approaches to managing their airline crews:

Airline A:

A randomly selected crew of 13 people works together for one month. These individuals are unlikely to have worked together before or to do so again. Each individual is highly trained to do a specific task and must follow strictly prescribed and standard procedures.

The airline assumes that, because it has no control over the crew when it is in the air, it must select the best people, train them very well, and specify exact procedures. This plan works extremely well for routine flights. When a flight is short and hurried or unexpectedly long, however, the system tends to be less effective.

Airline B:

Airline trainees self-select, during their initial training sessions, into crews of 4 that become permanent assignments. Each team determines the roles its members will assume for the flight and identifies its leader. Teams have great flexibility for how they will handle specific situations and have developed special events such as "Second Honeymoon" and "Vacation Express" give-away games that they use at their own discretion.

This company believes that well-selected and trained employees who understand corporate goals can be given latitude to meet these goals in ways that address the conditions of each flight. Successful innovations are shared among teams, with encouragement for replication and creativity.

Over the long haul, Airline B has been more effective in addressing unexpected and difficult situations and in building customer confidence. The following key conditions have contributed to the success of this airline:

- Commitment to and understanding of the mission of the company by employees
- Stable, self-selected crews
- Training that includes models of creative solutions to problems
- Strong interpersonal skills among team members that include sizing up situations
- Autonomy, authority, discretion and support for staff from above
- Peer-based rewards that relate to team accountability
- Team feedback that comes directly from customers at times determined by the team
- Determination by the team of when customers' evaluations are shared with headquarters

Key Variables

Research has yielded the following information on the four key variables that differentiate effective from less effective teams:

1. **Direction/mission**

- Team members must understand and value the mission of the organization

- The mission or "end state" must be set by the leader. The means for getting to the end state should be determined by the team.

  Example:

  The leader decides which mountain the group will climb. The team, at each stopping point, participates in deciding the route, the number of stops, and other factors that will affect how they get to the top.

  In setting end states, there must be adequate challenges so that people are excited to participate. However, the challenges cannot be so great that people are "turned off." The rule of thumb lies halfway between too challenging and too easy.

2. **Structure**

- Definition of the task
  - Tasks must be defined as wholes so that participants have a meaningful job to do.
  - Participants must have the autonomy to manage their team themselves to accomplish the task.
- Design of the team
  - Teams should be stable; they should remain together.
  - Teams should be optimally undermanned; better that they are too small than too large. The optimal size for a team is 5 or 6 because of the number of coordination links that are required.
  - If teams get too large, consider "cell division."
  - For companies, 250-300 employees is the optimal size.

    Diversity is critical to effectiveness because of the learnings that come from differing backgrounds and perspectives.

3. **Context**

- The "directed" team will be a high performing unit when it has the necessary "support:"
  - Rewards for doing well
  - Training in skills and attitudes
  - Information and the necessary data
  - Material resources that are essential to the task

4. **Coaching**

- With direction, structure, and support, an effective team needs "coaching" that asks: "How can I help you to be successful?"
- Coaching is the new model of supervision for leaders and teams.

Launching a Team

Two warnings:

1. The first few moments of the team shape its entire experience. Plan them carefully.
2. The role of the leader will be pivotal. Traditional, "bossy" leaders will doom teams. Leaders must understand the need for lateral authority within the team.

The Role for Superintendents

Superintendents may want to analyze school or district teams to determine if these four conditions are in place. It is the role of the leader to try to put these conditions in place and to enable them to exist. It is also the role of the superintendent to inspire others, such as school committees, principals, teachers, and the community, to value and support the conditions that contribute to effective teams.

J. Richard Hackman is the Cahners-Rabb Professor of Social and Organizational Psychology at Harvard Business School. He is the author of numerous books and articles including Groups that Work, published in 1990.

LESSONS FROM TQM

DAVID SOUTHWORTH, Vice President
Southworth Company

THEME

Restructuring a manufacturing company through Total Quality Management is resulting in greater and higher productivity as employees become empowered.

HIGHLIGHTS

As someone who is restructuring his organization, I want to offer you solace and consolation and to share with you how it feels for me.

Southworth is a 150 year old company with $35 million in sales and 250 employees. The company has two product lines: cotton fiber and business stationary, including diaries and appointment books. Products are distributed through office products stores. Total Quality Management is being implemented in the manufacturing plant, which employs 90 front line hourly workers and 30 office support people.

We had a problem with declining profitability and were losing customers. We needed to change fast. Doing things as we had done them in the past was not going to work, even if we worked longer hours and harder.

I had read the business press and was familiar with the new buzz words: "In Search of Excellence," "Thriving with Chaos," "Continuous Improvement," etc. They sounded good, but I didn't know if they applied. A presentation by a Malcolm Baldrige Quality Award Winner, Xerox, finally convinced me to give it a try. After talking to many consultants willing to provide packages of help, a team of managers and I reduced the field of potential consultants to four and went to our Executive Board for its input.

We decided to call our project by the commonly used term, "Total Quality Management." We hired a consultant for what we knew would be a 2 - 3 year process. We expect to see no payback in Year I, but hope to reap $300,000 to $500,000 in savings in Year II.

The implementation of TQM has involved numerous steps:

- Lots of training and meetings.
- Teams of people have gone on retreats to learn about TQM.
- Teams have gone through three-month cycles of training.
- All teams meet on Thursdays for one-hour sessions facilitated by the consultant.
- Middle managers and foremen have been trained to see themselves as coaches rather than as "bosses."
- Employees have been trained in group facilitation processes.

Results and Insights:

- Some people are finding it really scary to have to take responsibility for what happens in their units.
- Other people are growing during this experience and finding it empowering. They can see that they are moving toward self-managed teams.
- Many of our employees are school drop outs. They are learning to behave and work in new ways.
- Some employees see that, if TQM works, it could mean they lose their current jobs. There is the potential that these individuals could try to sabotage the process. Efforts are made to help these employees see that with empowerment will come opportunities to engage in more responsibility for the company.
- Units that used to have a great deal of conflict are now talking to each other and trying to resolve problems.
- Because there is an environment in which it is allowable to identify problems, many more problems are emerging.

- It is already clear that a company that reduces its hierarchy will outperform a company with a hierarchy.

At this point, one year into this process, we do not have a great deal to show for our efforts. However, we are no longer asking if we did the right thing. It is clear that there will be **greater efficiency and higher productivity**.

We have made it possible for our consultant to work with an elementary school, on whose school site council I serve. The initial step we introduced was a needs assessment to determine the concerns of school staff and parents. Thirty people, including central office staff and teachers, participated in a full-day retreat to work on team-based improvement. While staff meetings are now more orderly, it will be a while before educational outcomes will emerge.

My role at Southworth has been to inject positively the pain of change now, while the company is still healthy. TQM is not a goal; it is a tool to help us to achieve the productivity we need and want. It will take time, but as we learn to identify the players who can help us to resolve problems and take our problems to these players, we will have success in the long run.

David Southworth is Vice President of the Southworth Company in Agawam, MA. Before joining Southworth Company, he taught seventh grade science. He is an active member of the business and civic communities and is the president of the West Springfield Partnership for Education and a member of the Brightwood School Site-Based Management Team in Springfield.

REFLECTIONS ON THE CARNEGIE SCHOOL EXPERIENCE - PANEL

PANELISTS:

MARGOT DESJARDINS, Superintendent
Westport Community Schools

THOMAS CONSOLATI, Superintendent
Southern Berkshire Regional School District

ROBERT MUNNELLY, Superintendent
Reading Public Schools

GWEN VAN DORP, Superintendent
Hampden Public Schools

Background

The Carnegie School program was established through legislation enacted in January, 1988 by the Massachusetts Legislature. The goal of this legislation is to model how principals, teachers, parents, and the community can be involved in making major change as they redesign their schools.

The legislation establishing the Carnegie Schools focuses on school-based reform, with no specified roles for superintendents or other central office staff. The nine schools that have been designated as Carnegie Schools have developed and implemented a broad range of reforms which impact areas such as:

- o school governance
- o teachers' roles
- o curriculum
- o staff development
- o approaches to student learning
- o involvement of the community in the school
- o parent involvement
- o business participation in the school
- o relationships between schools and their central administration

Four SBIP superintendents, whose districts include Carnegie Schools, were asked to share with other superintendents their perspectives on the restructuring experiences of the Carnegie Schools in their districts. The following summary reports the highlights of each presentation.

Margot desJardins, Superintendent, Westport
Carnegie School: Westport High School

- o Major areas of impact resulting from the Carnegie Program:
  - o A General Assembly, composed of students, teachers, and parents and a Faculty Senate were formed in 1989-1990. These groups operate similarly to the Massachusetts Legislature: bills must be passed by both parties and conference committees meet to finalize each bill. These bodies address curriculum, instructional methods, budget recommendations, handbooks, scheduling, and facilities. Any student, teacher, or parent can submit a bill for consideration.
  - o A variety of initiatives, which have provided professional training and have engaged teachers in decision making for the school, have resulted in greatly improved teacher morale and enthusiasm for teaching.
  - o Teachers are initiating programs for cooperative learning, inquiry-based learning, and other innovative approaches to curriculum and instruction.
  - o Teachers, students, and parents have a greater voice in school decision making.
  - o The Carnegie training in cooperative learning and peer coaching is now being carried over to the other school levels by Carnegie staff who serve as trainers. The initial training is now reaching the other school levels in the teacher-as-trainer model.
- o Suggestions for implementing major reform:
  - o Draw on the research base early in the restructuring process.
  - o Bring in a consultant to help provide the training, skills, and perspective that are necessary. This consultant can serve as an objective advisor as change is being designed and implemented.

- Involve the superintendent from the beginning in the change process. This district level involvement may help to alleviate the jealousy that arises because of the resources and attention that the Carnegie School is receiving.

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Thomas Consolati, Superintendent, Southern Berkshire Regional School District
Carnegie School: Mt. Everett Regional Junior and Senior High School

The Carnegie School Planning Team, composed of teachers, administrators, parents, the school's business partner, a school board member, and other members of the community, makes major decisions which are presented to the Faculty Advisory Council. This Council makes recommendations to the full faculty and to the School Committee.

The Carnegie Grant allowed Mt. Everett staff to review the research on effective instructional practices and to engage in concentrated discussion on the practices that would best address issues in the school. It was decided that the most effective change would be in the way time was used at the school.

The staff designed a new time schedule in which during each half of the year students take three subjects, each of which meet for 90 minutes per day. This schedule has enabled teachers to delve more deeply into subject areas and to use more effective teaching methods. School staff found that students were more motivated and that teachers were more productive with this new schedule.

Observations on the outcomes to date:

- There has been some **fallout** from this plan: ten of the top students in the school, who were doing well with the traditional schedule, transferred to a neighboring school. The parents of these students were among the most active in demanding high standards in the schools. Their leaving was a loss for the school.

- The impact of the Carnegie grant does not reflect a top-down/bottom-up change. It does reflect the development of a set of **common values** among school staff. A group of individuals have worked together to read about and discuss options sufficiently to feel they were ready to try a new approach.

- It is critical to address the **self-image of teachers.** "As the self-image of teachers goes, so goes the self-image of students."

  The Carnegie School program enabled the school to consider how to provide rewards, incentives, and strokes for teachers. Some of the factors that contributed to increased self-esteem included creative approaches to "comp time," computers for teachers, and provisions for "professional time."

- Rather than finding the implementation of the Carnegie plans an "uphill battle," it turned out to be a **downhill battle**. The best teachers wanted to move away quickly from the status quo. They felt greater security as teachers now that they were reflecting some of the most current research.

- **Students** were ready for the change. Students have been energized by the new schedule and are excited to be a part of this reform. While some students left the school initially, others have more recently transferred into the high school from neighboring districts.

- Ralph Tyler has noted that it takes 5 - 7 years for meaningful change. After 2 - 3 years, the school community can feel the excitement and anticipate that there will be other major reforms. Even critics of the schools have been caught off guard and are scurrying to "invent new criticism."

Gwen Van Dorp, Superintendent, Hampden Public Schools
Carnegie School: Thornton W. Burgess Middle School

The Thornton W. Burgess Middle School has been a Carnegie School for one and a half years as it was selected in the second cycle of the program.

- A Coordinating Council, composed of parents, teachers, administrators and a representative of the Hampden Volunteers in Public Schools, Inc., serves as the decision making body for the school's site-based management team.

- With a great deal of teacher input, the school has moved to heterogeneous grouping and team teaching and has developed a comprehensive after-school enrichment program. Shared decision making and parent education, however, continue to be priorities.

- It has taken a great deal of time and training to develop trust among members of the council. Initially, the superintendent was active on the council because the school did not have a principal. Now that there is a principal, the superintendent has taken a less visible role.

Issues and outcomes:

- It is important to recognize that the school is involved in a developmental process and to ensure that everyone involved continues to refer to the knowledge base as they proceed.

- The interscholastic athletics program has been substituted with a broadly-based extra-curricular program.

- Conflicts have arisen among building and district level initiatives, such as the reading program. Steps are being taken to reconcile these conflicts.

Robert Munnelly, Superintendent, Reading Public Schools
Carnegie School: J. Warren Killam Elementary School

The Killam School was already participating in a number of school-based initiatives before it became a Carnegie School. At the end of its first year as a Carnegie School, the Killam developed six planning teams, organized by grade level, that are coordinated by the Killam Advisory Team (KAT).

The school decided to use its grant on training. Members of each team determine the form their training will take. Standard leadership training on conflict resolution, consensus, and team building has been offered to each team, with about 60 people participating. Teams of parents have been trained to work with the school governance teams and have been helped to expand further their group process skills.

The team process has generated many new initiatives that had to receive consensus approval from the entire school. This time consuming process contributed to some distress among parents and teachers who wanted to do a good job but had an extremely full plate. The initial unrealistic and unsustainable level of activity by teachers and parents has moderated to a more sustainable level.

Teachers' morale has remained very high at the school and parent support has increased dramatically. Test scores dropped in Year I and parents indicated that this outcome **was** acceptable for the **first year**. Scores rose in Year II.

The role of the superintendent now is to transmit the energy and spirit in the Killam School to other schools in the district.

Summary

The Carnegie School Principals meet monthly to discuss common issues and concerns. They have identified six principles that reflect their experiences:

1. Accept uncertainty.
2. Take a long range view.
3. Believe in your staff.
4. Keep the focus on student learning.
5. Have a support system.
6. Live the process.

IV. CURRICULUM REFORM AND THE IMPLICATIONS FOR SUPERINTENDENTS

CURRICULUM REFORM THAT ADDRESSES AMERICA'S SOCIETAL AND INDUSTRIAL CHANGE

WILLARD (BILL) DAGGETT, Director
International Center for Leadership in Education

THEMES

Americans have a desire to have the best education system in the world but are unwilling to invest the time, money and related resources that are needed to achieve this goal.

The key to educational improvement lies within communities: parents, teachers, students, and others in the community must understand the need for improvement and change their values about education.

HIGHLIGHTS

A "set up" for failure

There is a great deal of talk about national, state, and local goals for students. This focus on specific goals has led business executives and others to perceive these "outcome statements" not as "goals" but as "expectations."

There is no sign, however, that America has the national will to achieve these goals:

- American children are in school **fewer days** than children in other countries:

  Most states mandate 180 days of school. Japanese children go to school 243 days a year; all other industrialized countries require at least 200 days of school a year.

- The United States Department of Education and the Ford Foundation agree that, on the average, 61% of American **school budgets** are spent on academics. For Japan this figure is 92%; for the European community the figure is 85%.

- In our current economic downturn, increasing numbers of school districts have eliminated all of their **professional days for teachers.** In Europe and the Pacific Rim, there is no country that provides less than 20 days of inservice for teachers.

- **Parents** in America responded to a Gallop Poll as follows:

  81% said that schools need change.
  78% said that their children's schools do not need change.

- **Teachers** responded to a Stanford University survey as follows:

  91% said that schools need fundamental change.
  88% said that the courses they teach do not need fundamental change.

- Korean students were ranked Number 1 according to their performance on international tests. American students did 25% as well as Korean students. In post-test questions about **attitudes** toward math, however, American students were three times more likely than Korean students to say they were good at math.

- **Technology** is at least 10 years ahead of our understanding of what it can and does do; the world is changing and we are not changing our educational processes to keep up with it.

  "Voice to paper" technology can produce a hard copy version of a speech in 90 seconds. The equipment required to make this happen presently costs $9,000. It is anticipated to cost $1000 in 18 months, or by the middle of 1993.

  Totally automated fast food restaurants that cook food to order are found to be 20% less expensive to run than those that rely on people.

  The automotive industry presently computerizes 19% of the parts of a car. In 1995 that figure is estimated to be 82%.

It is critical that we move education away from tasks, which are rapidly becoming outdated, to understanding systems. With parents, teachers, and children not believing there is need for change, it is unlikely that communities, states, and the nation will provide the resources that are necessary to strengthen schools. In this environment and with these attitudes, the national goals are not likely to be realized.

Five Steps to Managing Change

Superintendents are quite possibly the only people who are in a position to orchestrate the change process that will help to develop the will to update and improve our educational system. There are five steps that are basic to the management of change in schools:

1. Build awareness of the need
2. Identify adult roles/responsibilities that are desired in graduating students
3. Identify the skills that are needed for students to play these adult roles
4. Develop an implementation plan
5. Undertake implementation

Step 1. Raise Awareness.

The Rand Corporation has studied 25 school districts that have made significant and effective change in their communities. Each of these districts started with awareness raising which developed ownership within the community of the problem.

In order to begin to build a will for improving education in American, there will need to be a change in the values and ideas of teachers, parents and others in their commuities. **Superintendents must empower others to nurture this awareness.** Without this discovery among teachers, parents, business people, and others, there will not be change.

Educators will not be effective if they try to **lead** a parade for change. They will need to find **others** who understand the issues and can raise awareness in the schools and the community. Educators will have to **manage** this parade **from the back of the line.**

Step 2. Identify Adult Roles.

In planning a campaign for change, superintendents will need to help school staff and community members **identify the adult roles for which they want children to be prepared.** Once these roles are listed, they should be compared against the curriculum in schools and the teaching techniques that are being used. It will be striking to note the lack of a match among our expectations for children and the experiences they are having in school.

Step 3. Identify The Skills That Are Needed.

The following skills that are necessary for success in adult roles were identified at a recent international conference on education:

Basic skills
Keyboarding
Data manipulation
Problem solving/decision making
Systems of technology
Resource management
Economies of work
Human relations
Applied math and science
Career planning

A $4.6 million business/industry sponsored research study asked American teachers to identify the skills that people need and use. In the area of language arts, the following three functions were identified:

- o Reading
- o Writing
- o Speaking and listening

Each function was related to three generally accepted applications. For example:

o. Reading for personal response, such as reading a novel

o Reading for information

o Reading for critical analysis

For each of these applications, there is a continuum of learning on which student achievement should be measured. This continuum is based on Bloom's Taxonomy:

o Awareness

o Understanding/comprehension

o Application

o Analysis

o Synthesis

o Evaluation

For adult roles in society and at work, speaking and listening are used the most; reading for personal response is used the least. Our educational system, however, puts most of its time, and its testing, on reading for personal response. The study found that of the 47 states that have reading tests, most of the test is on reading for personal response. Educators in Europe and Asia have looked at these results and determined that they must change their curriculum to teach reading for information and then move to reading for critical analysis. **In this country we still have a disconnect between how and what we teach and the results we want.**

Superintendents who desire to effect change in their districts should **not** suggest changes to the curriculum. Rather, they should **facilitate** discussions about adult roles and the taxonomy of skills. From these discussions will come **community-driven requests** for change in the curriculum.

Step 4. Develop an Implementation Plan.

Once there is a desire in a community to change, the next step is to **define the negotiables and the non-negotiables.** The list of non-negotiables becomes shorter in communities that are truly looking to change. Issues such as the length of the school day and year, changes in the teachers' contract, the existing testing process, and state and federal mandates become less rigid requirements when the community becomes involved in the change process.

Step 5. Undertake an Implementation Plan.

Examples of implementation:

o Occupational Education

In America, vocational education provides job specific training in "protected occupations," which are occupations that would exist regardless of the economy of the area. These areas include auto mechanics, cosmetology, clerk typists, etc. In Europe and Asia, vocational education has moved totally into "strategic occupations," which are defined as those which are unique to a specific region or which attract new business into an area. Strategic occupations are connected to economic growth and development, not to maintaining the existing economy. They also generally include higher paying industries that require higher skill levels and that can build strong relationships with higher education systems.

A study by Ohio State has shown that occupational education students are outpaced by college-bound students in salary three to five years after they - and their cohort - leave college. The Tech-Prep movement is a step in the right direction but would be improved if it were focused on strategic occupations.

o Applied Physics Exam in Japan

A case in point: A typical applied phisics exam in Japan was administered to a class of 48 students, which included two children with Down's Syndrome.

The exam had two parts:

1. 60 points - 90 minutes

   Multiple choice and short essay questions

2. 40 points - 90 minutes

   A broken piece of equipment is brought into the room. The teacher leaves the room after describing four tasks to be accomplished and giving students the following directions:

   "As you work on this problem, you are to work as a Team. The lowest score that is received on this part of the test will be the grade for every student. Students may use any resources available to them, in and out of the classroom."

   Tasks:

   1. Fix the machine.
   2. In precise and technical language, describe in writing the steps that were taken to fix the machine.
   3. Process three materials, a potato, a piece of tin, and cloth, in the machine and describe the concepts involved in each processing.
   4. Describe how you organized the students in the class to accomplish the tasks in this test.

This example has significant implications as we think about curriculum.

- Does this example belong in science, English, math, or which discipline?
- How does it mesh with the kinds of skills that business is seeking in its quest for Total Quality Management?
- Does it speak to the cooperation we want in families and in society?
- We have teachers who would like to give these kinds of tests. How do we nurture them?
- Polk County, North Carolina

  After assessing their students and determining they were only at "Understanding" on Bloom's Taxonomy, Polk County undertook a comprehensive effort to decompartmentalize its curriculum and to move students to Level 3, or "Application." The curriculum was redesigned to ensure that all students were at the "reading for understanding" level at the end of grade 9. In grades 10 and 11 teachers teach for "Application," with teachers from different disciplines developing tests for each other. In grade 12, a thematic approach is used that integrates all of the curriculum.

School reform is about what happens in classrooms when teachers close their doors. In order to know that reforms will occur and that there is the will to change, values and attitudes must change. It takes time to get all five of these steps accomplished, but once the spirit is in the wind, change can begin in a very short time.

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OUTCOMES-BASED PLANNING FOR SCHOOL IMPROVEMENT

LAURENCE ROWE, Assistant Superintendent
Johnson City Central School District, New York

THEMES

The purpose of Outcomes-Based Education is to determine the issues and elements that are really important in a school and in a district and to work to achieve success with children in these areas.

Outcomes Based Education is a process, not a solution. It raises questions about education rather than providing answers.

HIGHLIGHTS

Outcomes-Based Education helps to bring about change that people are committed to and will implement - even when others are not watching. After being trained in many other change efforts, people return to their prior behaviors. Outcomes-Based Education works by involving people in understanding the benefits of change in a way that builds in a commitment that lasts. Many change programs put 90% of their effort into introducing the change and 10% into support for the new behaviors and skills that are needed. Outcomes-Based Education provides teachers with the support, information, and skills that they need.

In Johnson City, NY, five questions are the basis of Outcomes-Based Education:

1. Do you **think** it is important to come to an agreement on the outcomes that are important to children in this system?

2. Do you **believe** it is important that we come to agreement on a few key beliefs that we all subscribe to regarding children?

3. Should we consult the **research** on teaching and learning as we develop our educational plans for the district?

4. Once we come to consensus on what we want, believe, and know, should we **use this information to drive our practices** in schools, classrooms, and in the district?

5. Should we all act in such a way as to contribute to building a **climate** in our classrooms **that satisfies human needs?**

These five critical question are used to screen all activity and to determine that actions taken are consistent with what we want, believe, know, and agree is "need satisfying." Answering these questions has moved Johnson City from a top down to a consensus-based organization.

Implementation

As Johnson City implemented Outcomes-Based Education, staff were asked to identify the outcomes they wanted for children at the end of each unit. Staff drew on the research and existing knowledge to identify these outcomes. Taking into consideration what they wanted for children, what they believed about children, and what they knew from the literature, they identified four Exit Behaviors they wanted for each child:

- o self-direction
- o self-esteem
- o capacity to think
- o concern for others

Through contributing to the identification and development of these behaviors, teachers have become self-motivated and self-directed to work to ensure that students meet these goals.

As teachers began to implement their outcome-driven goals for students, they noted discrepancies between what they wanted to do and what they were doing. For example:

- o Expectation theory indicated that homogeneous grouping was labeling children and contributing to lower performance levels.

- Hiring practices needed to ensure that new teachers were prepared to constantly re-evaluate their practice and to remain current on research and pedagogy.

- Teachers' behaviors in the classroom had to be modified to ensure that they were addressing the needs of children.

The challenge facing administrators was to help teachers engage in self-assessment that helped them to identify and acknowledge their own "discrepancies." One strategy was to encourage staff to bring into the school current literature. The staff then reviewed the literature together and agreed upon the research in which they had the most confidence. In reviewing literature, three criteria were used:

- the size of the sample being studied

- consistency of results over an adequate period of time

- replication over a long period of time

Learning Objectives and Outcomes

School staff at all grades must identify the learning objectives they have for children at the start of every teaching unit. All students must meet specific **essential** standards to be certified in this unit. Teachers also can identify **enrichment** and **exceptional** objectives for students who are faster learners.

- Initially, test scores for students declined. However, once teachers began to implement outcomes based goals, the scores started to rise. Presently, the Johnson City Schools have the 2nd highest scores in all of the BOCES (regional districts) and are 25% higher than the state average. In addition, the district enjoys a 2.7% dropout rate.

Grading

Grades are given only for quality learning. Failing marks are not given as the district does not want to "certify failure." The lowest grades that can be given must equal no lower than "80." Initially, "A," "B," and "C" grades were given. In the 1980's, these grades were changed to Mastery, Mastery Plus, etc. This system has evolved into no grades in K-3, with students' performance indicated on a continuum in language arts and mathematics. Presently the district is moving toward students' self-assessment and teachers' assessment on report cards.

In the elementary schools, there are currently 14 different forms of report cards being employed in the different schools. At the high school level, students receive an "80" or better or an incomplete. For students who will not be able to reach the "80," exceptions are made. The district operates on the premise that you do not get what you **inspect:** you get what you **expect.**

Critical Variables

Three critical variables have been identified that impact student outcomes. Teachers are encouraged to develop ways to manipulate these variables in order to enhance student learning. These variables are:

- time on task

- mode of teaching and learning

- relationships

Team Teaching

Team teaching has been a major tool for teachers as they seek to ensure that all children learn at a high level. Schools determine their own team structure, based on their assessment of the organization which will be most effective for children. Some teachers at the elementary level have chosen to form vertical (across grades) or horizontal (same grade) teams, with one school vertically teaming teachers in grades 1-4.

- Through interdisciplinary teams at the middle school, teachers are able, for example, to increase the time that a student can work on a problem area to increase his or her potential for learning.

- The high school is more traditional. After experimenting with team teaching and altered time frames, the high school is presently organized into self-contained classrooms. Some teachers are piloting a teaming model with some marginal students. They will report their outcomes to the staff so that others can assess their interest in adopting this approach.

Testing

The high school is strongly committed to avoiding the "teach-test-flunk" syndrome. Students cannot take a summative test unless they have demonstrated that they are ready. The day before a major test, students work cooperatively with each other to validate their own and each others' knowledge and indicate that they are ready for the test.

Integration

The schools have totally integrated special education students into regular classrooms. There are no remedial teachers or pull-out classes. Funds from Chapter 1 are used to hire instructional assistants for the classrooms. These assistants help teachers to manipulate time and work with students so that students get the assistance they need. In order to avoid communication gaps, these assistants meet with teachers to learn about the needs of children. This belief in integration is strongly stated in the mission statement.

Professional Development

All teachers receive 10 full days of professional development a year during the summer, by contractual arrangement. During the previous year, the district used several approaches to generate information on the needs of teachers for new knowledge and skills that will be addressed in the summer. Teachers play a major role in identifying the topics they would like the summer training to cover. During the school year, teachers' in-service days are used to reflect on the effectiveness of the summer training, the degree to which it is meeting needs, and any supplementary information that is needed. In addition, principals meet each week for 40 minutes with each team to help them engage in self-reflection on their effectiveness and to discuss strategies for addressing the needs of all children.

The key to the effectiveness of Outcomes-Based Education has been the district's commitment to revisiting its mission statement to ensure that it continually affirms its commitment to providing the highest possible learning outcomes for all students. This review and revision of the mission statement affirms Outcomes-Based Education as a flexible process for strengthening student learning.

Laurence Rowe has been Assistant Superintendent of the Johnson City Central School District in New York for the past 18 years. He was instrumental in developing the Outcomes-Based Education Program in the middle school and has provided consultation to numerous districts throughout the country in the initiation and development of outcomes-based programs.

APPENDIX:

SCHOOL-BASED IMPROVEMENT PROJECT
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SCHOOL BASED IMPROVEMENT PROJECT:
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